

#429/02

ATTORNEY DOCKET NO.: D5009-00002 CPA

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of: Loeper

Serial No.: 09/434,645

Filed: November 5, 1999

Group Art Unit:

Examiner:

For: **Method, System and Computer Program for Auditing Financial Plans**

Commissioner for Patents  
Washington, D.C. 20231

**Received**

APR 29 2002

Technology Center 2100

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
TRANSMITTAL LETTER**

Dear Sir:

Enclosed herewith is an Information Disclosure Statement pursuant to 37 CFR.

§ 1.56 in connection with the above-identified CPA application, which statement is  
being filed:

- ☐ Together with the present application.
- ☒ Before the first Office Action on the merits or three (3) months from the filing date of a CPA request in this application, whichever occurs last. [37 CFR § 1.97(b)]
- ☐ After the first Office Action on the merits, but before a Final Office Action under §1.113 or Notice of Allowance under §1.311, whichever occurs first. [37 CFR § 1.97(c)]
- ☐ After a Final Office Action under §1.113 or Notice of Allowance under §1.311, but prior to or with payment of the Issue Fee. [37 CFR § 1.97(d)]

Consistent with Applicant's obligations pursuant to 37 CFR §§1.97 and 1.98, the following requirements have been met:

☐ No separate requirements are needed.

☐ No additional fee is required.

☐ **Fee Under 37 CFR § 1.97©**

The fee of \$180.00 for submission of an IDS under § 1.97© as set forth in § 1.17(p) accompanies this statement.

☐ **Petition Under 37 CFR § 1.97(d)**

This is a petition requesting consideration of an IDS under § 1.97(d). The petition fee of \$130.00 set forth in § 1.17(i)(1) accompanies this petition.

☐ **Certification Under 37 CFR § 1.97(e)**

- ☐ Each item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement; or
- ☐ No item of information contained in this statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing the statement after making reasonable inquiry, no item of information contained in this statement was known to any individual designated in §1.56© more than three months prior to the filing of this statement.

**Provision of Copies of References**

- ☒ A copy of references AA through BF listed on the attached Form PTO-1449 are enclosed herewith and form a part hereof.
- ☐ Partial Translations of References are enclosed herewith and form a part hereof.
- ☐ A copy of the European Search Report from a corresponding or related EPO application is enclosed herewith.
- ☐ A copy of the International Search Report from a corresponding or related PCT application is enclosed herewith.

**Identification of Prior Application(s) In Which Listed Information Was Already Cited And For Which No Copies Are Submitted Or Need Be Submitted**

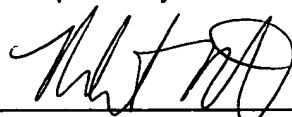
- ☐ This application relies, under 35 U.S.C. § 120, on the earlier filing date of prior U.S. Application No(s). \_\_\_\_\_ filed \_\_\_\_\_. The following references were submitted to, and/or cited by, the Office in the prior application(s) and therefore are not required to be provided in this application:

references AA through BF

- ☒ The Commissioner is hereby authorized to charge any fees associated with this communication or credit any overpayment to Deposit Account No. 04-1679. A duplicate copy of this transmittal is attached.

DATE: April 26, 2002

Respectfully submitted,



Robert E. Rosenthal  
Registration No. 33,450  
Attorney for Applicant(s)

DUANE MORRIS LLP  
One Liberty Place  
Philadelphia, PA 19103-7396  
Telephone: 215-979-1255  
Fax: 215-979-1020  
PH1\946503.1